



City of Santa Barbara
CDBG
Community Development Block Grant

SUB-GRANTEE
MANUAL

July 2011

CITY OF SANTA BARBARA

Community Development Block Grant

Sub-grantee

Manual

CITY COUNCIL

MAYOR: *Helene Schneider*

COUNCIL: *Harwood "Bendy" White, Dale Francisco, Frank Hotchkiss, Grant House, Michael Kathleen Self, Randy Rowse*

COMMUNITY DEVELOPMENT / HUMAN SERVICES

COMMITTEE

Youth-Oriented Services – Daniel Ramirez
Latino Community – Yesenia Curiel
Human Services - Vacant
Senior Community – Rocky Jacobson
Business Community/Economic Development – Laura Knight
Downtown Neighborhood – James Cook
African-American Community – Brenda Collins Powell
Lower Westside Neighborhood – Greg Gorga
Eastside Neighborhood – Veronica Loza
Disabled Community – Michael Just
Housing Authority Commission – Barbara Allen
Westside Neighborhood – Josephine Torres
Housing Interests – Vacant

COMMUNITY DEVELOPMENT PROGRAMS STAFF

Paul Casey, Community Development Director
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Please visit the Community Development Programs website
<http://www.Santabarbaraca.gov/Resident/Health/CDBG/>

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ATTACHMENT A - CDBG FORMS & REPORTS

ATTACHMENT B – CAPITAL PROJECT REQUIREMENTS, CHECK-LIST AND FORMS (INCLUDING DAVIS BACON)

ATTACHMENT C –

- 24 CFR 570 - Community Development Block Grant Entitlement Program Regulations
- 24 CFR Part 84 – Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals and Other Non-Profit Organizations
- OMB Circular A-122 - Cost Principles for Non-Profit Organizations
- OMB Circular A-133 – Audits of Institutions of Higher Education and Other Non-Profit Institutions
- US Department of Labor Wage & Hour Division

SECTION I INTRODUCTION

A. Purpose

Welcome to the City of Santa Barbara's Community Development Block Grant (CDBG) program. We appreciate the important community services provided by CDBG funded sub-grantees. The Community Development Department is committed to helping you maximize the use of CDBG funds and to ensure compliance with CDBG program regulations and related federal statutes.

As a sub-grantee in the City of Santa Barbara's Community Development Department (CDD) CDBG program, you have agreed to not only provide the services indicated in your contract, but to comply with the CDBG program requirements and responsibilities as established by the U.S. Department of Housing and Urban Development (HUD), and those required by the City of Santa Barbara. This manual has been developed to help facilitate your understanding of and compliance with these requirements.

The procedures spelled out in this manual are critical to a sub-grantees' ability to comply with CDBG program requirements. For example, a non-profit agency may be providing highly effective public services to its low-income clientele; however, without proper record keeping, effective financial management and complete documentation of allowable expenses and activities, the use of CDBG funds cannot be justified. This manual is designed to show you how to conduct CDBG funded services that are eligible under the federal rules and are consistent with the City Contract.

The financial, accounting, internal control, and reporting principles presented in this manual are basic, and are not intended to replace acceptable existing procedures used by your agency. Instead, these fundamental requirements represent *minimum* procedures and controls that must be embodied within your accounting, internal control, and financial reporting system as required by Federal regulations and City policies.

Your contract with the City will contain a comprehensive statement of the goals, objectives, and measurable outcomes of the specific services to be provided by your agency. In addition, the contract specifies the reports and documentation required for verification of contract compliance. This manual is meant to assist your agency in complying with the provisions of the Contract, but should not be used in lieu of reading the articles of the Contract. Should there be any disagreement between your Contract and this manual, the provisions contained within the Contract will take precedence. Unless specified otherwise, CDD shall have the authority to represent the City regarding the terms and conditions of your contract.

B. Community Development Block Grant Program

In 1974, the federal government enacted the Federal Housing and Community Development Act. Title I of this Act combined several previous categorical programs into a single program named the “Community Development Block Grant” (CDBG) program. Congress designed the CDBG program to enhance and maintain viable urban communities. The CDBG program accomplishes these goals by providing decent housing, suitable living environments and expanded economic opportunities, principally for low and moderate-income persons. The U.S. Department of Housing and Urban Development (HUD) administers the CDBG program through grants to local and state jurisdictions.

The City of Santa Barbara participates in the CDBG program as an “Entitlement City” and is the “recipient” of annual CDBG funding. Agencies that receive sub-grants of CDBG funds are defined by HUD as “sub-recipients” or “sub-grantees”. At its discretion, the City of Santa Barbara will use these federal funds to assist eligible projects to meet local community development needs. Under CDBG regulations, assisted projects must serve or be located in the incorporated portion of the City.

C. Eligible Activities

Federal regulations limit the kinds of activities that the City may carry out with its CDBG funds. The regulations governing the CDBG program provide detailed eligibility requirements. In general, a project may be undertaken when three requirements are met.

1. The type of the project must be included within the list of eligible activities in the CDBG regulations. The CDBG regulations also list activities that are explicitly ineligible. Additionally, maintenance and operation expenses and equipment purchases are ineligible except as part of an eligible public service. Ineligible projects also include construction of buildings used for the general conduct of government.
2. A CDBG project must meet at least one of three national objectives. The project **must principally serve low and moderate-income persons, eliminate slums and blight, or address a recent and urgent health and safety need.**
3. Finally, the project must be consistent with the community development objectives and strategies outlined in the City’s Consolidated Plan.

D. Federal Regulations

The key Federal regulations, which form the basic administrative requirements of the CDBG program, are summarized in this section to provide a framework for the standards referenced throughout this manual. The regulations have been developed by HUD in order to carry out the federal statutes that established the CDBG program. The regulations address the CDBG program itself, and other federal laws or policies relevant

to the CDBG program (e.g. National Environmental Policy Act, Americans With Disabilities Act, Davis-Bacon Act, etc.). The acronym “CFR” stands for Code of Federal Regulations.

1. CDBG Program Management Regulations

The basic program regulations governing management and financial systems for the CDBG program are promulgated by the federal government in 24 CFR Part 570, Subparts J and K. They are applicable both to grantees (i.e., the City) and to public or private sector sub-grantees:

- a. Subpart J (24 CFR 570.500 – 570.513) covers the general responsibilities for grant administration, including uniform administrative requirements, provisions of sub-grantee agreements, program income, use of real property, record-keeping and reporting, and closeout procedures.
- b. Subpart K (24 CFR 570.600 – 570.614) deals with other CDBG program requirements, including civil rights, labor standards, environmental standards, flood insurance, relocation, displacement, acquisition, employment and contracting opportunities, lead-based paint, use of debarred, suspended or ineligible contractors, uniform administrative requirements and cost principles, conflicts of interest and the Americans With Disabilities Act.

2. General Federal Requirements

In addition to the basic regulations of the CDBG program contained in 24 CFR Part 570, there are three other categories of requirements that affect the administrative systems and procedures that sub-grantees must have in place in order to receive support:

- Federal regulations governing administrative and audit requirements for grants and cooperative agreements (governmental sub-grantees) for which HUD has oversight responsibilities;
- Administrative circulars from the Office of Management and Budget (OMB) and Department of the Treasury governing cost principles, administrative systems, fiscal procedures and audit requirements for public and private grantees and sub-grantees;
- Executive Orders from the Office of the President implementing various equal employment opportunity and environmental policies.

The applicability of these general requirements depends upon the kind of public or private organization that receives CDBG funds.

Community Based Organizations

For sub-grantees that are non-profit organizations, the key regulations defining administrative requirement are:

OMB Circular A-122 “Cost Principles for Non-Profit Organizations”:

A publication of the U.S. Office of Management and Budget, this document establishes principles for determining costs that are allowed to be charged to Federal grants, under contracts, and other agreements with non-profit organizations, except educational institutions (see Attachment B).

or,

OMB Circular A-21 “Cost Principles for Educational Institutions”: This document covers much of the same subject matter as OMB Circular A-122, but is designed for use by educational institutions (both public and private).

and,

24 CFR Part 84 “Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations”: This document specifies standards relative to pre-award requirements, financial and program management, property standards, procurement standards, reports and records, termination and enforcement, and closeout procedures. 24 CFR 84 supersedes OMB Circular A-110 (see Attachment C).

Public Agencies

For “governmental sub-grantees” (a public agency that is independent of the City Community Development Department, such as a public housing authority, parks commission, or a cooperating city under the City’s CDBG grant), the key administrative requirements are:

24CFR Part 85 “Uniform Administrative Requirements for Grants and Cooperative Agreements to State, Local and Federally-recognized Indian Tribal Governments” (also known as the “Common Rule”: For government entities and public agencies, 24 CFR Part 85 details standards for financial management systems, payment, allowable costs, property management, procurement, monitoring and reporting program performance, financial reporting, record retention, and termination.

and,

OMB Circular A-87 “Cost Principles for State and Local Governments”: For government entities receiving CDBG or other Federal funds, this document is the government’s version of OMB Circular A-122. Circular A-87 establishes the principles for determining the allowable costs of programs administered by public agencies under grants or contracts from the Federal government. The principles are designed to provide the basis for a uniform approach to determining costs and to promote efficiency.

SECTION II GENERAL OVERVIEW

A. Programmatic & Financial

To be a recipient of Community Development Block Grant funds, the program of the Sub-grantee Agency (AGENCY) must be related to and be supportive of the defined objectives in the Santa Barbara Community Development Block Grant application and the City’s Consolidated Plan. The AGENCY must also be incorporated in the State of California and receive Federal non-profit tax exempt status.

The goals and objectives previously listed in the grant application should be stated in numerical measurable terms to be met over a 12 month period. A detailed budget should be developed, based on the amount of CDBG grant funds awarded using the following expenditure categories: 1) Salaries, 2) Supplies and Services, and 3) Capital Outlay.

B. The Contract

The Contract will contain a comprehensive statement of goals and objectives of the program, specific requirements based upon expenditure category, and a list of the services to be provided. The goals used should be consistent with those outlined in the grant application, with modifications, if necessary due to a lesser or greater funding allocation. The budget along with the goals and objectives should be submitted to the Community Development Staff either prior to or during (at the latest) any sub-contract negotiation process.

The Contract shall also contain the following information: location of any facility funded (unless confidentiality is requested and approved by staff); the target population by age, income group, race, ethnic and sexual make-up, and geographic sources of clients by census tracts or municipal boundaries.

Statistics are required to be submitted on a monthly basis.

SECTION III FINANCIAL RESPONSIBILITIES

In using Federal funds, the cardinal rule is always documentation. The achievement of program goals and the completion of activities must be supported by adequate documentation of the facts. If activities, personnel, procedures, expenditures, and results are not documented properly, from the Federal Government's perspective, you have not done your job, regardless of your accomplishments. Appropriate records are the lifeblood of all successful CDBG agencies.

Each AGENCY program will be assigned a six digit code which will identify the program. This number should be included on any reports/correspondence.

A. Financial Records

The sub-grantee Agency's financial records shall be based on an accrual accounting system. Accrual accounting means that revenues are recorded in the accounts when earned and the expenditures are recorded as they initially are incurred. No transactions may be conducted on a cash basis.

An AGENCY or PROJECT is STRICTLY PROHIBITED from obligating any funds or incurring any reimbursable expenses unless and until they are in possession of a fully executed contract. Upon written request, exceptions to this provision may be considered. Community Development Programs staff will make the determination on a case-to-case basis based upon Agency or Project's need and applicable CDBG regulations.

B. Record Maintenance

Program accounting records should be closed on the last working day of each month and reported to the Community Development Staff on the **Sub-grantee Monthly Report and Request for Payment Form** within seven (7) days following the end of the month. If that day falls on a weekend, reports will be accepted the following Monday. A copy of all payroll reports, invoices and/or receipts being requested for reimbursement must be attached to the Report/Request for Payment Form.

More detail follows, however, the following rules apply to the most common financial supporting documentation submitted for reimbursement. Supporting documentation must be:

- ⇒ **Copied** Do not send originals.
- ⇒ **Coded** The related expenditure code on the face of the invoice
- ⇒ **Substantiated** All items requested for reimbursement must have a paid invoice (or equivalent document that verifies the expenditure was incurred) issued by the seller, vendor or provider of goods and/or services **plus** proof of payment.

- ⇒ **Legible & marked** Any invoice or receipt submitted to identify the expenditures must be legible with the applicable dollar amount(s) on the receipt. The dollar amount(s) should be circled or highlighted.
 - ⇒ **Summarized** Should extensive receipts and documents be submitted, a summary must be provided
 - ⇒ **Justified** A detailed written explanation in support of the expenditure as it directly relates to the AGENCY'S stated goals and objectives per the contract is required
 - ⇒ **Payroll/Salary** The amount of staff time charged to CDBG program activity must be clearly identified. If an employee's time is split between CDBG and another funding source, time distribution records supporting the allocation of charges among the sources must be submitted. This **time allocation** and the resulting **salary paid** to employee for time spent working directly on CDBG-funded activities **MUST BE SIGNED BY EMPLOYEE AND SUPERVISOR OF EMPLOYEE**. Canceled checks, pay-stubs, or evidence of direct deposit will document the actual outlay of funds.
 - ⇒ **Verification of Client Income** Sufficient detailed evidence **must be** obtained and to verify that each client benefiting from CDBG funds qualifies as Low-Moderate Income. Total household income from all sources must total less than 80% of Area Median Income adjusted by household size.
 - ⇒ **Certified – Any** Report submitted with supporting documentation must be signed and dated by an individual with fiscal responsibility for the subrecipient.
2. In maintaining accounting records, general ledger entries shall be recorded by the related expenditure code and the check number or time card to verify expenditure.
 3. All invoices shall be verified and coded with the related expenditure code on the face of the invoice.
 4. Program accounting records will be evaluated at various times during the program year by the Community Development Staff or their designees for compliance with the Contract. At midyear, the **Sub-grantee Agency Mid-Year Budget Control Form** is submitted. This will give both staff and the Sub-grantee Agency a chance to see if any budget revisions are necessary so as to end the fiscal year in line with the proposed budget.
 5. The Sub-grantee Agency shall keep weekly personnel accounts of the number of hours worked, paid holidays, vacation, and sick leave expended by each Block Grant funded employee (Timesheets). The amount of staff time charged to CDBG program activity must be clearly identified. If an employee's time is split between CDBG and another funding source, time distribution records supporting the allocation of charges among the sources must be clearly identified. This **time allocation** and the resulting **salary paid** to employee for time spent working directly on CDBG-funded activities must be submitted monthly for reimbursement.

6. The Sub-grantee Agency will report all private vehicle agency travel on the **Sub-grantee Agency Travel Record Form**.
 - a. The Form must be approved by the Sub-grantee Program supervisor before the mileage is submitted for reimbursement to Community Development Staff. The purpose shall be clearly listed for each trip.
 - b. All Forms will be reviewed and audited by the Community Development Staff.
7. A letter signed by the Board of Directors President shall be provided to the Community Development Staff for approval regarding the Sub-grantee Agency's policy for:
 - a. Vacation and sick leave accumulation
 - b. When an employee is eligible to take the time off for vacation and sick leave
 - c. A list of paid holidays for the Sub-grantee Agency's personnel
 - d. The number of hours that make up a full work week
8. As an Exhibit to the Contract, the Sub-grantee Agency will transmit the following information to the Community Development Staff on the **Sub-grantee Agency Fiscal Management Form**:
 - a. Bank account name
 - b. Bank account number
 - c. Bank name and branch location
 - d. Sub-grantee Agency's authorized signatures (there must be two signatures on each check written) and their respective titles

C. Expenditure Codes

1. **Salaries** – These codes will be used for all positions which will be funded (in part or in whole) by the CDBG Program. The following information shall be provided on an attached sheet:
 - a. Job Title and Job Description
 - b. Number of hours per week the person worked in CDBG program
 - c. Rate of pay per hour
 - d. Total cost of position along with training and other benefits.
 - e. Statement as to whether position will be funded for the entire year or just part of the year.
 - f. Expenditure codes and code names:

0010 - Salaries
0050 - Group Insurance
0060 - Worker's Compensation Insurance
0070 - Retirement
0080 - Unemployment Insurance

2. **Supplies and Services** – expenditure codes and code names

0420 – Insurance and Bonds – Indicate the types of insurance or bonds necessary for the project and the amount of coverage that will be provided with an estimate of the cost per policy.

0160 – Office Supplies – Include the cost of paper, forms, and stationery and other small items of office equipment with a per item cost of less than \$25.00. Include stamped envelopes and parcel post. Coffee and other staff refreshments are not eligible.

0180 – Program Supplies – Include supplies specific to the program funded (i.e. food, blankets, books, name badges).

0330 – Professional Services – Include the cost of architectural and engineering services. **NOTE: Professional services in connection with this grant shall not be contracted for without prior consultation with the Community Development Staff.**

0140 – Communication – Include an estimate of the base monthly telephone charges, long distance cost, and any necessary installation charges itemized separately. Long distance telephone calls will be itemized and require justification on a monthly basis. Full explanations shall be included as to the purpose and relationship to the goals and objectives of this grant. Phone call expenditures shall be documented and explained as to the originator, the destination and the purpose; if not related to the original intent of the grant, they will not be eligible. You must explain how they relate to the grant goals and objectives and include this in your request for reimbursement.

0130 – Electricity and Gas – Provide an estimate of the cost of gas and electricity if not included in cost of office space rent.

0270 – Building and Property Rent – Identify the cost of the office space to be used by the Sub-grantee Agency. Include the office location and the total floor space cost factor required and the services to be provided by the lessor.

0280 – Equipment and Rental – Include the costs of renting office equipment necessary to the operation of the program. The type of equipment to be rented

should be specified, as well as the purpose of each item. Any rentals must be approved in advance by the Community Development Staff.

0340 – Travel and Training Mileage Reimbursement – Please use Form CDSG-3 (page 20) as back-up documentation. Include any local travel and/or out-of-city travel and training. Check with staff for current reimbursement/mile amount. Each trip shall be recorded separately and the purpose shall be listed; clients served shall also be identifiable for each trip. No long distance trips shall be taken without prior approval if they are contemplated under this grant. Written requests for approval shall be made which explain the purpose and relationship to the grant.

Reimbursement requests for long-distance trips must be documented as to:

- a. Name and location of conference or meeting.
- b. Full explanation as to its purpose and relationship to original intent of grant.

Itemize all charges; explain and label them. Do not just list a series of numbers which are unidentified or a copy of an unlabeled sales receipt.

Maximum meal charges allowed on an eligible trip:

Breakfast	\$ 8.00
Lunch	\$12.00
Dinner	\$20.00

0440 – Rental Assistance – Assistance to pay a portion of an individual's rent for residence inside City of Santa Barbara boundaries only. Identify name of recipient, amount of grant assistance and address of residence.

0480 – Economic Development Microenterprise Loans and Scholarships – Includes loans for the establishment, stabilization or expansion of commercial enterprises with five or fewer employees, one or more of whom owns the enterprise. Includes Scholarships provided to income-qualified residents to attend training which will assist client to establish, stabilize or expand commercial enterprise with five or fewer employees, one or more of whom owns the enterprise. Identify name of recipient, name of enterprise, and amount of loan or scholarship.

NOTE: All individuals directly benefiting or receiving CDBG-funded services must provide proof of income qualification. As sub-grantee, it is your responsibility to obtain and maintain adequate income documentation on each individual served and be in a position to provide said documentation upon request by CDBG or HUD representatives.

3. Capital Outlay – expenditure codes and code names

0601 – Construction of Buildings – Provide a cost estimate by construction phase required for construction of buildings. Include cost of all materials. **Note: New construction of housing units are not eligible under CDBG.**

0621 – Building Improvements – Provide a cost estimate for each construction phase required for the renovation or rehabilitation of a building. Include the cost of building permits and materials.

0641 – Furniture and Equipment – Itemize the cost of all furniture and equipment with a per item cost of \$100 or more. Provide a statement of the necessity of the item. NOTE: All equipment and furniture purchased with grant funds shall, upon completion of the grant year, remain the property of the City of Santa Barbara and shall be returned to the City upon request.

0611 – Land Acquisition – Include an itemization of the acquisition price of real estate for purchase including the cost of appraisal fees, abstract or titles, recording fee, etc., involved in the purchase of the land for the Community Development program. No purchase of land shall take place without prior consultation and written approval of the Director of Community Development.

DETAIL COST ESTIMATES ARE REQUIRED FOR ALL CAPITAL OUTLAY/CONSTRUCTION PROJECTS.

SECTION IV REIMBURSEMENT PROCEDURES

A. Sub-grantee Agency Responsibilities

1. The Sub-grantee Agency must submit the **Sub-grantee Agency Request for Payment** to the Community Development Staff within seven (7) days following the end of the month. If that day falls on a weekend, reports will be accepted the following Monday. This Form is part of the monthly status reporting system. Please include it with your monthly report. (see Section VI).
2. The Sub-grantee Agency Travel Record must be attached if travel or mileage expenses are being claimed. A copy of any invoices/receipts being requested for reimbursement must be attached. A full explanation of every item being requested for reimbursement must be included. Explain purpose and relationship to the grant's goals and objectives.
3. Agency is responsible to supply supporting documentation with requests as follows:
 - ⇒ **Copied** Do not send originals.
 - ⇒ **Coded** The related expenditure code on the face of the invoice
 - ⇒ **Substantiated** All items requested for reimbursement must have a paid invoice (or equivalent document that verifies the expenditure was incurred) issued by the seller, vendor or provider of goods and/or services **plus** proof of payment.
 - ⇒ **Legible & marked** Any invoice or receipt submitted to identify the expenditures must be legible with the applicable dollar amount(s) on the receipt. The dollar amount(s) should be circled or highlighted.
 - ⇒ **Summarized** Should extensive receipts and documents be submitted, a summary must be provided
 - ⇒ **Justified** A detailed written explanation in support of the expenditure as it directly relates to the AGENCY'S stated goals and objectives per the contract is required
 - ⇒ **Payroll – See Davis Bacon Requirements**
 - ⇒ **Salary** The amount of staff time charged to CDBG program activity must be clearly identified. If an employee's time is split between CDBG and another funding source, time distribution records supporting the allocation of charges among the sources must be submitted. This **time allocation** and the resulting **portion of salary paid** to employee for time spent working directly on CDBG-funded activities **MUST BE SIGNED BY EMPLOYEE AND SUPERVISOR OF EMPLOYEE**. Canceled checks, pay-stubs, or evidence of direct deposit will document the actual outlay of funds.
 - ⇒ **Verification of Client Income** Sufficient detailed evidence **must be** obtained and to verify that each client benefiting from CDBG funds qualifies as Low-

Moderate Income. Total household income from all sources must be less than 80% of Area Median Income adjusted by number in household.

⇒ **Certified** – **Any** Report submitted with supporting documentation must be signed and dated by an individual with fiscal responsibility for the subrecipient.

Note: Payments will not be processed until the Request for Payment Form, supporting documentation and Status Reports are received and approved.

B. City of Santa Barbara Responsibilities

1. The Community Development Staff will verify and process the Request for Payment Form as quickly as possible. However, please do not expect payment immediately. Plan your expenditures and budget according to the processing time of at least 15 days from the date of submission.
2. Checks will be sent directly to the Sub-grantee Agency.
3. For Sub-grantee Agency programs which involve a Contract for construction (materials and labor), ten percent of the grant amount will be held by the City for thirty-five days after recordation of “Notice of Completion”. This is to ensure completion of work and payment for materials and services and compliance with program requirements.
4. The City of Santa Barbara reserves the right to withhold payments of funds to contractors who fail to comply with all federal, state and local regulations pertaining to federally funded construction projects.

SECTION V PURCHASING/PROCUREMENT

When it comes to spending the taxpayer's money, no matter how small the amount, it is important to ensure that the prices paid are competitive, and that the Agency (and the taxpayer) is receiving a good value. The requirement is not that a bargain be achieved every time, but only that a fair price is paid. This means that CDBG funds should be used to purchase what is necessary under the terms of the contract and no more. The integrity of the purchasing procedures needs to be demonstrated by documentation of the history, results and decisions behind the purchases.

All sub-grantees of Community Development Block Grant (CDBG) funds for capital improvements and/or purchases must adhere to a competitive bidding process.

A. General Bid Procedures – following are the basic requirements of Competitive Bidding:

- **Advertising** in newspapers, trade journals, and/or use of a bidders list
 - Contracts cannot be **extended or renewed** without reopening the bid process
 - Sub-grantees cannot use any firms on HUD's **Debarment and Suspension List**
 - No employee, officer or agent of the sub-grantee shall participate in the selection, or in the award or administration of a contract supported by Federal funds if a **conflict of interest**, real or apparent, would be involved. Such a conflict would arise when the employee, officer or agent, any member of his/her immediate family, his/her partner, or an organization which employs or is about to employ any of the above, has a financial interest in the firm selected for the award.
 - Sub-grantees may use one of the **methods of procurement**:
1. **Small Purchases** – used for securing services, supplies or other property that **do not exceed \$100,000 in the aggregate**.
 - Price or rate quotations must be obtained from an adequate number of qualified sources (three to five).
 - Vendors may be phoned and their names, addresses and price or rate quotations should be documented
 - Catalogues or price lists may be used
 - Vendors whose information is the most responsive to the item being procured should be selected
 - Written solicitation and written responses should be utilized for higher dollar and/or more complex purchases
 2. **Sealed Bids** – contact Community Development Block Grant staff prior to utilization of this method.

- Bids are publicly solicited and a firm-fixed-price contract is awarded to the responsible bidder whose bid, conforming to all the material terms and conditions of the invitation for bids, is the lowest price.
 - Sealed bids are the preferred method for procuring construction services
3. **Competitive Proposals** – generally used when conditions are not appropriate for the use of sealed bids.
- Request for Proposals (RFP) must be used
 - Must be publicized
 - Must identify all evaluation factors and their relative importance
 - Must solicit proposals from an adequate number of qualified sources
 - Must develop a method for conducting technical evaluation and selection
 - Must award contracts to the firm whose proposal is the most advantageous to the program, with price and other factors considered
 - Must establish written procurement procedures including, at a minimum, the following criteria:
 - avoidance of purchasing unnecessary items
 - analysis of lease and purchase alternatives
 - solicitations provide for description of technical requirements, requirements which the bidder must fulfill, description including the range of acceptable characteristics or minimum acceptable standards, specific features of items, the acceptance of products and services dimensioned in the metric system of measurement, preference for products and services that conserve natural resources and protect the environment and are energy efficient.
4. **Non-Competitive Procedures** – may only be used with approval of CDBG staff (when the award of a contract is infeasible under small purchase procedures, sealed bids or competitive proposals and one of the following circumstances applies):
- Item is available only from single source
 - Public exigency or emergency for the requirement will not permit a delay resulting from competitive bid solicitation
 - Awarding agency authorizes non-competitive proposals.
 - After solicitation of a number of sources, competition is determined inadequate.

Please Note: a cost analysis (i.e. verification of the proposed cost data, the projections of the data, and the evaluation of the specific elements of costs and profits) is required.

B. Equipment and Furniture

1. Except if otherwise agreed upon by the Sub-grantee Agency and the City of Santa Barbara, the Sub-grantee Agency will be responsible for acquiring the furniture and equipment needed as defined in the Contract and budget.
2. All furniture and/or equipment purchased by the Sub-grantee Agency with a value of more than \$100 is considered the property of the City of Santa Barbara and shall be returned to the City upon request. A list of such equipment and furniture shall be submitted as part of the final report submitted by the agency to the City of Santa Barbara.
3. Receipts (see Section IV) for all acquired equipment and furniture must be submitted with a Request for Payment Form.

C. Fair Labor Standards must be followed by all Sub-grantee Agencies.

D. Community Development Staff will provide affected agencies with necessary rules and regulations regarding bid procedures and Fair Labor Standards.

SECTION VI PROGRAMMATIC RESPONSIBILITIES

A. Monthly Status Reports

1. The Sub-grantee Agency will submit a **Monthly Status Report Form** and a **Client Total Form** within seven (7) days following the end of the month. If that day falls on a weekend, reports will be accepted the following Monday. These reports shall be submitted monthly for a period of one full year from the beginning of the fiscal year whether or not the agency has expended total grant funds, unless written approval is received by the agency from the Community Development Staff.
2. The report will detail the month's activities compared to the annualized numerical goals indicating the number of people assisted, work completed, and any changes affecting the terms of original application for CDBG funding.
3. Monthly status report are divided into two sections:
 - a. **Monthly Status Report Form** Details monthly and year-to-date progress toward meeting the goals and objectives of the program. Monthly reports to the City of Santa Barbara shall be complete and accurate and each month's report shall include the activities performed during the immediately preceding month and shall be displayed to reflect the progress towards meeting the goals and objectives agreed upon. The agency shall include in this report Units of Service; for example: nine hours of day care per day may be one unit of service; counseling sessions based on one hour meeting with client may be one unit. The agency shall include their own definition of this Unit of Service to enable the measurement of services rendered to clients.
 - b. **Client Total Form** will detail the **unduplicated** client population that the program has served on both a monthly and year-to-date basis. It should reflect the unduplicated number of clients which actually received assistance under the terms of the grant reports, and shall reflect the number of clients newly served for the month (not those previously reported unless so clarified). **These statistics are required by HUD.** Revised income guidelines will be distributed each year (or as available).

B. Staff On-site Monitoring

Along with desk monitoring, periodically, Community Development Staff will conduct on-site project monitoring. During these visits, staff will observe the operation and management of the project. AGENCY should expect CDBG staff inspection of accounting systems, client records, file organization, goal and objectives review, contract

compliance, budget status/review and program performance. The details of on-site monitoring visits will be documented, including: persons contacted, records reviewed, concerns or problems discussed, and any applicable conclusions or recommendations.

- C. Client records shall be maintained which clearly indicate specific names, residential addresses, and supporting income documentation.
- D. Any revisions in the Sub-grantee Agency Program; either financial or programmatic must be in writing and submitted to CDBG staff for advance approval.

SECTION VII ADDITIONAL INFORMATION

A. Legal Actions

1. If any legal action is filed against the Sub-grantee Agency by any party, Sub-grantee Agency shall immediately notify the Community Development Staff by telephone notification.
2. If any legal action is contemplated by the Sub-grantee Agency against the City of Santa Barbara or its employees, the Agency shall first notify the City of Santa Barbara Community Development Staff at least five working days in advance of any outside agency or entity.

B. Affirmative Action

1. The Sub-grantee Agency will develop an Affirmative Action Policy and submit the executed policy to the Community Development Staff for approval. Said Policy must be submitted prior to program start-up.
 - a. No Sub-grantee Agency staff may be assigned nor may any commitments be made to hire personnel until AGENCY has received prior written approval of Affirmative Action policy from Community Development Staff.
 - b. This policy should be distributed to all Sub-grantee Agency employees.
 - c. A written Affirmative Action Plan can substitute for the required policy statement.
2. The Affirmative Action Policy or Plan shall include the following provisions:
 - a. In accordance with Title I of the Housing and Community Development Act of 1974 and 1977 and other related Federal regulations, to insure equal opportunity in employment, without regard to race, color, religion, marital status, national origin, familial status, sexual orientation, age, sex, ancestry, or mental or physical disability.
 - b. Policy or Plan shall include all employment practices, not limited to hiring, recruiting, promotion, demotion, transfer, lay-off, termination, training, and compensation practices.
3. Under the terms of the executed Contract, failure to enforce the Affirmative Action Policy or may result in the termination of the Contract.

C. Staff Selection Procedures

1. **These procedures apply to staff selection of CDBG funded projects only.** If the Sub-grantee Agency has established personnel policies and procedures, they shall provide procedures and make written request to the Community Development Staff to make a determination as to whether AGENCY'S existing procedures meet CDBG requirements.
2. Advertising
 - a. Advertisements for available positions shall be published twice-weekly (including Sunday) Help Wanted section of a city-wide distributed Santa Barbara paper.
 - b. The following information and data shall be placed in the advertisement:
 - (1) "Opening for (list job available)"
 - (2) List salary, qualifications required, and brief job description
 - (3) List dates when filing closes and state the date for any exam to be given and nature of exam: oral, written, or performance
 - (4) State that it is an opening as a Federally funded position subject to annual review and possible renewal
 - (5) Job announcement shall be sent to appropriate community agencies and the City of Santa Barbara Human Resources Department as well as the Community Development Staff.

D. Bonding and Insurance

AGENCY is required to procure the following required insurance coverage at its sole cost and expense. Such insurance coverage shall be maintained during the term of the CDBG contract. All evidences of insurance coverage are to be placed with insurers which

- (1) Have a Best's rating of no less than B+: VIII, and
- (2) Are admitted insurance companies in the State of California.

All other insurers require prior approval of the City's Risk Management office. Failure to comply with the insurance requirements shall place AGENCY in default. Upon request by CDBG Staff, AGENCY shall provide a certified copy of any insurance policy within ten (10) working days.

1. Workers' Compensation Insurance. Statutory Workers' Compensation and Employers Liability Insurance shall cover all AGENCY'S staff while performing any work incidental to the performance of the CDBG contract. The policy shall provide that no cancellation, major change in coverage or expiration shall be effective or occur until at least thirty (30) days after receipt of such notice by the City or CDBG staff. This provision does not apply if AGENCY has no employees as defined in

Labor Code Section 3350 et seq. during the entire period of the contract and AGENCY submits a written statement to CDBG staff stating this fact.

2. General and Automobile Liability Insurance. The general liability insurance shall include personal injury liability coverage for perils A, B, and C, shall afford coverage for all premises and operations of AGENCY and shall include contractual liability for the contract between the City and AGENCY. The automobile liability insurance shall cover all owned, non-owned and hired motor vehicles which are operated on behalf of AGENCY pursuant to AGENCY'S activities under the CDBG contract; automobile liability insurance coverage for owned vehicles shall be required only when the AGENCY pursuant to AGENCY owns vehicles. City of Santa Barbara, its officers, employees, and agents shall be named as additional insured on any policy. The limit of liability of said policy or policies for general and automobile liability insurance shall not be less than \$1,000,000 per occurrence combined single limit for bodily injury and property damage. Personal injury liability coverage shall also be in the amount of not less than \$1,000,000 per occurrence and aggregate. Said policy or policies shall include severability of interest or cross liability clause or equivalent wording. Said policy or policies shall contain a provision in the following form: "Such insurance as is afforded by this policy shall be primary and contributory to the full limits stated in the declarations, and if the City of Santa Barbara has other valid and collectible insurance for a loss covered by this policy, that other insurance shall be excess only." Said policy or policies shall provide that the City of Santa Barbara shall be given thirty (30) days written notice prior to cancellations or expirations of the policy or reduction in coverage.
3. The CDBG contract shall not take effect unless and until AGENCY has delivered to the CITY the documentation of insurance coverage as specified in the contract. In the event of any proposed change in coverage or cancellation of all or any part of such coverage, AGENCY shall immediately notify the CDBG staff in writing and shall obtain other additional insurance to retain full coverage as described herein during the entire term of the CDBG contract. Breach of the insurance provisions for insurance coverage shall be grounds for immediate cancellation of the CDBG contract.
4. Approval of the insurance by City or acceptance of the certificate of insurance by City shall not relieve or decrease the extent to which the Agency may be held responsible for payment of damages resulting from Agency's services or operation pursuant to the CDBG Contract,, nor shall it be deemed a waiver of City's rights to insurance coverage under the Contract.
5. Professional Liability Insurance, if applicable.
6. If the program is for rehabilitation of a building, the Sub-grantee Agency must obtain owners, landlords, and tenant's form of public liability insurance (bodily injury only) with minimum of \$100,000. Proof of this coverage shall be maintained in the files of the Sub-grantee Agency and made available for inspection to Community Development Staff.

7. If site clearance is a part of the rehabilitation of a building is performed by the Sub-grantee Agency's employees, the Sub-grantee Agency shall, in addition to other required insurance, obtain public liability and property damage insurance in an amount not less than \$300,000 for bodily injury and not less than \$75,000 for property damage.
8. A copy of all executed insurance policies and bonds shall be provided to and approved by the Community Development Staff at the beginning of the program year, and upon renewal of policies.
9. In all contracts for construction or facility improvements awarded in excess of \$100,000, Sub-grantee Agency shall observe the bonding requirements provided in the Federal Management Circular 74-7, Bonding and Insurance.

Note: Disbursements will not be made until required proof of insurance coverage is received in the Community Development office.

E. Project Supervisor

The name of the project supervisor shall be submitted to the Community Development Staff as well as notification of any change in personnel in this position. This name should be the same as the person who signs the various forms for certification, doing business, etc.

F. Davis/Bacon Prevailing Wages

Capital projects **in excess of \$2,000** total cost for the construction, completion, rehabilitation or repair of any building or work financed in whole or part with assistance provided with CDBG funds, are subject to Davis-Bacon prevailing wages. **(Exhibit B)**

G. Section 3 Economic Opportunities

Capital projects **in excess of \$100,000** CDBG funds are subject to Section 3 Economic Opportunities for Low and Very Low Income Persons. **See CDBG staff prior to beginning the project.**

SECTION VIII GRANT CLOSE-OUT

A. Programmatic

1. All program records must be retained by the Sub-grantee Agency for a period of five years after the close-out of the Contract.
2. If the Sub-grantee Agency will cease to exist after CDBG funding ends, the Agency will dissolve its corporate status after termination of the Contract by filing the appropriate documentation with the Secretary of State and any other appropriate state or federal agencies. All files and records will be delivered to the Community Development Staff.
3. All personnel files must be separated from normal correspondence files.

B. Fiscal

1. All accounting records must be closed on the final day of the Contract. Records must reflect any and all accounts payable that remain outstanding.
2. The Agency is required to submit to the City of Santa Barbara Community Development Staff, **no later than 30 days past the contract year end date**, a year-end statement of expenditures report prepared with the following columns (see Year End Report):
 - a. Total amount budgeted
 - b. Total Expenditures
 - c. Balance

NOTE: Any funds remaining in the Sub-grantee Agency account at the end of the program year will be automatically reprogrammed to the general CDBG contingency account

3. A final audit of Sub-grantee Agency financial records must be conducted by a certified public accountant, consistent with Generally Accepted Auditing Standards and Government Auditing Standards. This audit is required to be submitted no later than 120 days after the sub-grantee's fiscal year end. It is the responsibility of the Agency to arrange and pay for the required audit and submit it to the City of Santa Barbara Community Development Staff.

Any concerns or findings disclosed by the audit are to be addressed in writing to CDBG staff in writing by the Agency within 30 days of disclosure.

If more than \$300,000 in federal funds is expended in a given year, the audit shall meet the requirements of OMB Circular A-133 (see Attachment C). Agencies

expending \$25,000 or more will be required to submit a year-end financial report including an Income statement and a Balance Sheet.

C. Furniture and Equipment

1. All furniture and equipment purchased by the City for the Sub-grantee Agency which has a City of Santa Barbara inventory control number will be returned to Community Development Staff immediately upon request. Ongoing programs must submit a formal request to Community Development Staff for the continued utilization of the piece of equipment and justification for its continued usage.
2. A list of furniture and equipment shall be supplied to Community Development Staff including the inventory, upon request, or in all cases at the end of the fiscal year as part of the Year End Report.

D. Final Program Evaluation and Reports

1. **Each Sub-grantee Agency must submit a final program evaluation report no more than thirty days past the contract year end date.** This report shall summarize the final total of unduplicated clients served by the goals and objectives listed in the Contract. A Financial Summary shall also be included and a list of any equipment and furniture over \$100 purchased.
2. The final evaluation report shall analyze the completion and measurable outcomes of the project's stated goals and objectives. It shall summarize whether or not the agency feels it attained all goals and objectives of the program, and state any procedures or actions that may have increased the effectiveness of the program.
3. If required, AGENCY agrees to a complete and submit the EEO-4 form with its final program evaluation. This EEO-4 form provides Sub-grantee Agency employment information to HUD.
4. Community Development Staff may schedule an evaluation meeting with Sub-grantee Agency Staff to review performance. The Sub-grantee Agency Staff will be evaluated on its program performance and financial records with respect to Contract compliance. For social service programs, a participant evaluation of the services may be completed.
5. The Community Development Staff will provide a notice of findings to the Sub-grantee Agency related to Contract compliance if any problems are found in the operation or Contract compliance of the agency.

SECTION IX CDBG FORMS & REPORTS DUE DATES

- CDSG-1 Sub-grantee Agency Budget Form**
Due with contract
- CDSG-2 Sub-grantee Agency Fiscal Management Form**
Due with contract
- CDSG-3 Sub-grantee Agency Travel and Training Mileage Reimbursement Form**
Due the 7th Day of each month for preceding month, if mileage or training is to be reimbursed
- CDSG-4 Sub-grantee Agency Monthly Report & Request for Payment Form**
Due the 7th Day of each month for preceding month
- CDSG-5 Sub-grantee Agency Budget Revision Form**
Must be submitted prior to any change in use of funds
- CDSG-6 Sub-grantee Agency Mid-Year Budget Control Form**
Due by January 15th of each year
- CDSG-7 Sub-grantee Agency Quarterly Form – Capital projects**
Due the 7th Day after the last day of the reporting quarter
- CDSG-8 Sub-grantee Agency Year-End Report Form**
Due no more than 30 days past the contract year end date (due July 30th)

Attachment - A

CDBG FORMS

CDSG-1	Sub-grantee Agency Budget Form
CDSG-2	Sub-grantee Agency Fiscal Management Form.
CDSG-3	Sub-grantee Agency Travel & Training Mileage
CDSG-4	Sub-grantee Agency Monthly Report & Request for Payment Form
CDSG-5	Sub-grantee Agency Budget Revision Form
CDSG-6	Sub-grantee Agency Mid-Year Budget Control Form
CDSG-7	Sub-grantee Agency Quarterly Report Form – Capital Projects
CDSG-8	Sub-grantee Agency Year End Report Form

**CITY OF SANTA BARBARA
COMMUNITY DEVELOPMENT BLOCK GRANT PROGRAM**

Sub-grantee Agency Budget Form

FY _____ to _____

Sub-grantee Agency _____

Project Title _____ **Project #** _____

Code # / Name	Detail Use of Funds	Total Cost Per Code #
Salary:		# _____ \$ _____
0010 - Salaries		# _____ \$ _____
0050 - Group Insurance		# _____ \$ _____
0060 - Worker's Comp Insurance		# _____ \$ _____
0070 - Retirement		# _____ \$ _____
0080 - Unemployment Insurance		Total \$
Supplies:Services		# _____ \$ _____
0420 – Insurance and Bonds		# _____ \$ _____
0160 – Office Supplies		# _____ \$ _____
0180 – Program Supplies		# _____ \$ _____
0330 – Professional Services		# _____ \$ _____
0140 – Communication		# _____ \$ _____
0130 – Electricity and Gas		# _____ \$ _____
0270 – Building and Property Rent		# _____ \$ _____
0280 – Equipment and Rental		# _____ \$ _____
0340 – Travel & Training Mileage		Total \$
0440 – Rental Assistance		
0480 – Economic Development		
Capital Outlay:		# _____ \$ _____
1601 – Construction of Buildings		# _____ \$ _____
0621 – Building Improvements		# _____ \$ _____
0641 – Furniture & Equipment		# _____ \$ _____
0611 – Land Acquisition		Total \$
	Total Reimbursement Request	\$

Project Supervisor _____ **Date** _____

CommunityDevelopment _____ **Date** _____

[CDSG-1]

**CITY OF SANTA BARBARA
COMMUNITY DEVELOPMENT BLOCK GRANT PROGRAM**

Sub-grantee Agency Fiscal Management Form

Sub-grantee Agency _____

Project Title

Project #

1. Person responsible for the preparation of the fiscal reports and cash claims:	
PRINT Name:	Their Signature:
2. If bookkeeping is handled by an outside firm, print name and address:	
Name:	
Address:	
3. In what bank are you depositing your CDBG funds:	
Bank Account Name:	Bank Account Number:
Branch Address:	
4. Persons responsible for signing checks written on the CDBG bank account: TWO signatures are required on CDBG checks).	
PRINT Name	PRINT Name
Their Signature:	Their Signature:
5. How frequently are financial status reports submitted to the Agency's Board of Directors:	

Project Supervisor _____ **Date** _____

Community Development _____ **Date** _____

[CDSG-2]

Sub-grantee Agency Travel and Training Mileage Reimbursement Form

Prepared by: _____ Month Ending _____ 20____

Date	Mileage	To/From	Reimbursement
Total Mileage:		Total Reimbursement: \$	

Community Development _____ Date _____

**CITY OF SANTA BARBARA
COMMUNITY DEVELOPMENT BLOCK GRANT PROGRAM**

Sub-grantee Agency Monthly Report & Request for Payment

Subgrantee Agency _____

Program/Project Title

Project #

Month Ending _____, 20 ____ **Prepared by:** _____

1. Financial Section

Code # / Name	Explain Use of Funds Here	Total Cost Per Code #
Salary:		# _____ \$ _____
0010 - Salaries		# _____ \$ _____
0050 - Group Insurance		# _____ \$ _____
0060 - Worker's Comp Insurance		# _____ \$ _____
0070 - Retirement		# _____ \$ _____
0080 - Unemployment Insurance		Total \$
Supplies:Services:		# _____ \$ _____
0420 - Insurance and Bonds		# _____ \$ _____
0160 - Office Supplies		# _____ \$ _____
0180 - Program Supplies		# _____ \$ _____
0330 - Professional Services		# _____ \$ _____
0140 - Communication		# _____ \$ _____
0130 - Electricity and Gas		# _____ \$ _____
0270 - Building and Property Rent		# _____ \$ _____
0280 - Equipment and Rental		# _____ \$ _____
0340- Travel & Training Mileage		Total \$
0440 - Rental Assistance		
0480 - Economic Development		
Capital Outlay:		# _____ \$ _____
1601 - Construction of Buildings		# _____ \$ _____
0621 - Building Improvements		# _____ \$ _____
0641 - Furniture & Equipment		# _____ \$ _____
0611 - Land Acquisition		Total \$
	Total Reimbursement Request	\$

Agency is responsible to supply supporting documentation with this report as follows:

- ⇒ **Copied** Do not send originals.
- ⇒ **Coded** The related expenditure code on the face of the invoice
- ⇒ **Substantiated** All items requested for reimbursement must have a paid invoice (or equivalent document that verifies the expenditure was incurred) issued by the seller, vendor or provider of goods and/or services **plus** proof of payment.
- ⇒ **Legible & marked** Any invoice or receipt submitted to identify the expenditures must be legible with the applicable dollar amount(s) on the receipt. The dollar amount(s) should be circled or highlighted.
- ⇒ **Summarized** Should extensive receipts and documents be submitted, a summary must be provided

- ⇒ **Justified** A detailed written explanation in support of the expenditure as it directly relates to the AGENCY'S stated goals and objectives per the contract is required
- ⇒ **Payroll/Salary** The amount of staff time charged to CDBG program activity must be clearly identified. If an employee's time is split between CDBG and another funding source, time distribution records supporting the allocation of charges among the sources must be submitted. This **time allocation** and the resulting **portion of salary paid** to employee for time spent working directly on CDBG-funded activities **MUST BE SIGNED BY EMPLOYEE AND SUPERVISOR OF EMPLOYEE**. Canceled checks, pay-stubs, or evidence of direct deposit will document the actual outlay of funds.
- ⇒ **Verification of Client Income** Sufficient detailed evidence **must be** obtained and to verify that each client benefiting from CDBG funds qualifies as Low-Moderate Income. Total household income from all sources must be less than 80% of Area Median Income adjusted by number in household.
- ⇒ **Certified – Any** Report submitted with supporting documentation must be signed and dated by an individual with fiscal responsibility for the subrecipient.

Note: Payments will not be processed until the Request for Payment Form, proper documentation and Monthly Status Reports are received and approved by CDBG staff.

2. Accomplishments

Please provide a <u>short narrative</u> highlighting program events, trends, progress or significant deviation from your goals and objectives. Please note any staff budget changes.	
The undersigned hereby certifies that \$ _____ was expended for the month of _____ 20_____ for the execution of the above named Program.	
Signature: _____	Date _____
Project Supervisor	
For City of Santa Barbara Staff Use Only	
Report received within 7 days of end of month ____yes ____no _____date received	
Authorization for payment and verification that expenditures are consistent with contracted scope of services:	
Community Development _____	Date _____

**CITY OF SANTA BARBARA
COMMUNITY DEVELOPMENT BLOCK GRANT PROGRAM**

Subgrantee Agency Monthly Status Report Form
--

Sub-grantee Agency

Month/Year

Prepared by _____

Project # _____

2. Accomplishments, Cont.

OBJECTIVE	Annual Goal	ACHIEVEMENTS
		Month
		Year to Date
		Month
		Year to Date
		Month
		Year to Date
		Month
		Year to Date

Sub-grantee Agency _____ Month/Year _____

3. Number of Households or Persons Assisted (please specify "H" or "P"):

RACE/ETHNICITY	Unduplicated Month (All)	Unduplicated Month (Hispanic)	Unduplicated Year to Date (All)	Unduplicated Year to Date (Hispanic)
White				
Black/African American				
Asian				
American Indian or Alaska Native				
Native Hawaiian or Other Pacific Islander				
American Indian or Alaska Native AND White				
Asian AND White				
Black/African American AND White				
American Indian /Alaska Native AND Black/African American				
GRAND TOTAL RACE/ETHNICITY				

AGE	Unduplicated Month	Unduplicated Year to Date
0-18		
19-64		
65+		
GENDER	Unduplicated Month	Unduplicated Year to Date
Female		
Male		
INCOME LEVEL	Unduplicated Month	Unduplicated Year to Date
Extremely Low Income 0-30% of MFI		
Low Income 31-50% of MFI		
Moderate Income 51-80% of MFI		
Above Moderate Income 81% + of MFI		
OTHER CHARACTERISTICS	Unduplicated Month	Unduplicated Year to Date
Total Female Headed Households		
Individuals w/ Disabilities		
HOMELESS	Unduplicated Month	Unduplicated Year to Date
Homeless (TOTAL)*		
# of Individuals		
# of Families		
# of Chronically Homeless**		
TOTAL UNDUPLICATED CLIENTS		

* Homeless individuals & families who have been assisted with transitional and permanent housing.

** Individuals that have lived in a shelter or on the streets for the last year or have had four episodes of homelessness in the past 3 years.

**CITY OF SANTA BARBARA
COMMUNITY DEVELOPMENT BLOCK GRANT PROGRAM**

Sub-grantee Agency Budget Revision Form*

Sub-grantee Agency _____

Project Title _____ **Project #** _____

Prepared by: _____ **Month Beginning:** 20

Code # / Name	Current Budget	Proposed Budget	Change \$
Salary:			
0010 - Salaries	# _____ \$ _____	# _____ \$ _____	# _____ \$ _____
0050 - Group Insurance	# _____ \$ _____	# _____ \$ _____	# _____ \$ _____
0060 - Worker's Comp Ins.	# _____ \$ _____	# _____ \$ _____	# _____ \$ _____
0070 - Retirement	# _____ \$ _____	# _____ \$ _____	# _____ \$ _____
0080 - Unemployment Ins.	# _____ \$ _____	# _____ \$ _____	# _____ \$ _____
Total \$		Total \$	Total \$
Supplies:Services:			
0420 – Insurance and Bonds	# _____ \$ _____	# _____ \$ _____	# _____ \$ _____
0160 – Office Supplies	# _____ \$ _____	# _____ \$ _____	# _____ \$ _____
0180 – Program Supplies	# _____ \$ _____	# _____ \$ _____	# _____ \$ _____
0330 – Prof. Services	# _____ \$ _____	# _____ \$ _____	# _____ \$ _____
0140 – Communication	# _____ \$ _____	# _____ \$ _____	# _____ \$ _____
0130 – Electricity and Gas	# _____ \$ _____	# _____ \$ _____	# _____ \$ _____
0270 – Bldg & Prop Rent	# _____ \$ _____	# _____ \$ _____	# _____ \$ _____
0280 – Equip & Rental	# _____ \$ _____	# _____ \$ _____	# _____ \$ _____
0340 – Travel / Training Miles	# _____ \$ _____	# _____ \$ _____	# _____ \$ _____
0440 – Rental Assistance	# _____ \$ _____	# _____ \$ _____	# _____ \$ _____
0480 – Economic Dev	# _____ \$ _____	# _____ \$ _____	# _____ \$ _____
Total \$		Total \$	Total \$
Capital Outlay:			
1601 – Construction Bldg	# _____ \$ _____	# _____ \$ _____	# _____ \$ _____
0621 – Bldg Improvements	# _____ \$ _____	# _____ \$ _____	# _____ \$ _____
0641 – Furniture & Equip	# _____ \$ _____	# _____ \$ _____	# _____ \$ _____
0611 – Land Acquisition	# _____ \$ _____	# _____ \$ _____	# _____ \$ _____
Total \$		Total \$	Total \$

*** This form must be signed by CDBG staff before budget revisions will be allowed.**

Reason for change: _____

Project Supervisor _____ **Date** _____

Community Development _____ **Date** _____

**CITY OF SANTA BARBARA
COMMUNITY DEVELOPMENT BLOCK GRANT PROGRAM**

Sub-grantee Agency Mid Year Budget Report

Sub-grantee Agency _____

Project Title _____ **Project #** _____

Prepared by: _____

Code # / Name	Amount Awarded	Spent to Date	Balance
Salary:			
0010 - Salaries	# _____ \$ _____	# _____ \$ _____	# _____ \$ _____
0050 - Group Insurance	# _____ \$ _____	# _____ \$ _____	# _____ \$ _____
0060 - Worker's Comp Ins.	# _____ \$ _____	# _____ \$ _____	# _____ \$ _____
0070 - Retirement	# _____ \$ _____	# _____ \$ _____	# _____ \$ _____
0080 - Unemployment Ins.	# _____ \$ _____	# _____ \$ _____	# _____ \$ _____
Total \$		Total \$	Total \$
Supplies:Services:			
0420 - Insurance and Bonds	# _____ \$ _____	# _____ \$ _____	# _____ \$ _____
0160 - Office Supplies	# _____ \$ _____	# _____ \$ _____	# _____ \$ _____
0180 - Program Supplies	# _____ \$ _____	# _____ \$ _____	# _____ \$ _____
0330 - Prof. Services	# _____ \$ _____	# _____ \$ _____	# _____ \$ _____
0140 - Communication	# _____ \$ _____	# _____ \$ _____	# _____ \$ _____
0130 - Electricity and Gas	# _____ \$ _____	# _____ \$ _____	# _____ \$ _____
0270 - Bldg & Prop Rent	# _____ \$ _____	# _____ \$ _____	# _____ \$ _____
0280 - Equip & Rental	# _____ \$ _____	# _____ \$ _____	# _____ \$ _____
0340- Travel Training Miles	# _____ \$ _____	# _____ \$ _____	# _____ \$ _____
0440 - Rental Assistance	Total \$	Total \$	Total \$
0480 - Economic Dev			
Capital Outlay:			
1601 - Construction Bldg	# _____ \$ _____	# _____ \$ _____	# _____ \$ _____
0621 - Bldg Improvements	# _____ \$ _____	# _____ \$ _____	# _____ \$ _____
0641 - Furniture & Equip	# _____ \$ _____	# _____ \$ _____	# _____ \$ _____
0611 - Land Acquisition	Total \$	Total \$	Total \$
		Total Expended: \$	
		Total Balance: \$	

This Form must be submitted at mid-year.

Project Supervisor _____ **Date** _____

Community Development _____ **Date** _____

[CDSG 6]

CITY OF SANTA BARBARA

COMMUNITY DEVELOPMENT BLOCK GRANT PROGRAM

Capital Construction Project Quarterly Status Report

Subgrantee Agency: _____ **Project Number:** _____

Activity/Program Name: _____

Activity Location: _____ **Grant Amount: \$** _____

Reporting Period: (check one)

☐ **1st Qtr.** July 1 – Sept. 30, 2011

☐ **2nd Qtr.** Oct. 1 – Dec. 31, 2011

☐ **3rd Qtr.** Jan. 1 – March 31, 2012

☐ **4th Qtr.** April 1 – June 30, 2012

Construction Status: (attach additional pages as necessary)

A. Please list the project and/or construction activities that have been started or completed to date:

B. Please itemize the expenditures of CDBG funds made on this project to date:

C. Please list the project and/or construction activities that still need to be completed:

D. Anticipated date of completion? _____ **If job has been delayed, provide detailed explanation:**

The undersigned hereby certifies current status and that \$ _____ has been expended to date for the above named Project.

Signature _____ **Date** _____
Project Supervisor

THIS REPORT IS DUE WITHIN 7 DAYS AFTER THE LAST DAY OF THE REPORTING PERIOD.

**DELIVER TO THE HOUSING & REDEVELOPMENT OFFICE
630 GARDEN STREET, 2ND FLOOR
MAIL TO P.O. BOX 1990, SANTA BARBARA, CA. 93102**

CITY OF SANTA BARBARA

COMMUNITY DEVELOPMENT BLOCK GRANT PROGRAM

Sub-grantee Agency Year End Report – Page 1

For the period July 1, _____ - June 30, _____

1. Sub-grantee Agency: _____

2. Project Number: _____

3. Reporting Year: _____

4. Activity/Program Name: _____

5. Activity Location: _____

6. Contract Amount: \$ _____

7. Activity Description:

8. Accomplishments/Status (per contract):

9. Describe detailed methodology for measuring outcomes of program:

CITY OF SANTA BARBARA
COMMUNITY DEVELOPMENT BLOCK GRANT PROGRAM
Sub-grantee Agency Year End Report Page 2
For the period July 1, _____ - June 30,

10. Number of Households or Persons Assisted (please specify "H" or "P")

RACE/ETHNICITY	Unduplicated Year to Date (All)	Unduplicated Year to Date (Hispanic)
White		
Black/African American		
Asian		
American Indian or Alaska Native		
Native Hawaiian or Other Pacific Islander		
American Indian or Alaska Native AND White		
Asian AND White		
Black/African American AND White		
American Indian /Alaska Native AND Black/African American		
GRAND TOTAL RACE/ETHNICITY		
AGE	Unduplicated Year to Date	
0-18		
19-64		
65+		
GENDER	Unduplicated Year to Date	
Female		
Male		
INCOME LEVEL	Unduplicated Year to Date	
Extremely Low Income 0-30% of MFI		
Low Income 31-50% of MFI		
Moderate Income 51-80% of MFI		
Above Moderate Income 81% + of MFI		
OTHER CHARACTERISTICS	Unduplicated Year to Date	
Total Female Headed Households		
Individuals w/ Disabilities		
HOMELESS		Unduplicated Year to Date
TOTAL HOMELESS*		
# Homeless Individuals		
# Homeless Families		
# Chronically Homeless**		
TOTAL UNDUPLICATED CLIENTS		

*Homeless individuals & families who have been assisted with transitional and permanent housing.

** Individuals that have lived in a shelter or on the streets for the last year or have had four episodes of Homelessness in the past 3 years

CITY OF SANTA BARBARA
COMMUNITY DEVELOPMENT BLOCK GRANT PROGRAM
Sub-grantee Agency Year End Report Page 3
For the period July 1, _____ - June 30, _____

11. Financial Summary:

Code # / Name	Budgeted	Total Spent	Balance
Salary:			
0010 - Salaries	# _____ \$ _____	# _____ \$ _____	# _____ \$ _____
0050 - Group Insurance	# _____ \$ _____	# _____ \$ _____	# _____ \$ _____
0060 - Worker's Comp Ins.	# _____ \$ _____	# _____ \$ _____	# _____ \$ _____
0070 - Retirement	# _____ \$ _____	# _____ \$ _____	# _____ \$ _____
0080 - Unemployment Ins.	# _____ \$ _____	# _____ \$ _____	# _____ \$ _____
Total	\$	Total	Total
Supplies:Services:			
0420 – Insurance and Bonds	# _____ \$ _____	# _____ \$ _____	# _____ \$ _____
0160 – Office Supplies	# _____ \$ _____	# _____ \$ _____	# _____ \$ _____
0180 – Program Supplies	# _____ \$ _____	# _____ \$ _____	# _____ \$ _____
0330 – Prof. Services	# _____ \$ _____	# _____ \$ _____	# _____ \$ _____
0140 – Communication	# _____ \$ _____	# _____ \$ _____	# _____ \$ _____
0130 – Electricity and Gas	# _____ \$ _____	# _____ \$ _____	# _____ \$ _____
0270 – Bldg & Prop Rent	# _____ \$ _____	# _____ \$ _____	# _____ \$ _____
0280 – Equip & Rental	# _____ \$ _____	# _____ \$ _____	# _____ \$ _____
0340 – Travel & Training	# _____ \$ _____	# _____ \$ _____	# _____ \$ _____
Total	\$	Total	Total
Mileage			
0440 – Rental Assistance			
0480 – Economic Dev			
Capital Outlay:			
1601 – Construction Bldg	# _____ \$ _____	# _____ \$ _____	# _____ \$ _____
0621 – Bldg Improvements	# _____ \$ _____	# _____ \$ _____	# _____ \$ _____
0641 – Furniture & Equip	# _____ \$ _____	# _____ \$ _____	# _____ \$ _____
0611 – Land Acquisition	# _____ \$ _____	# _____ \$ _____	# _____ \$ _____
Total	\$	Total	Total
Total Expended: \$			
Total Balance: \$			

Attachment B

Community Development Block Grant CAPITAL PROJECTS

REQUIREMENTS

CHECK-LISTS

FORMS

(INCLUDING DAVIS BACON)

Because the project is funded in part with CDBG funds, the **entire** project is subject to City of Santa Barbara and CDBG requirements including, but not limited to Davis/Bacon Prevailing Wages. This means that **all** workers must be paid prevailing wages, even though some portions of the project may be paid by other funding sources.

PRE-CONSTRUCTION

- ✓ **Sub-grantee has received fully executed copy of Contract or MOU Agreement**
- ✓ **Sub-grantee has provided bid detail to CDBG staff for prior review/approval**
- ✓ **Sub-grantee has received Davis Bacon WAGE DETERMINATION from CDD-CDBG**
- ✓ **Bid Packets / “Notice to Contractors” released/published** - Includes the following:
*“This is a federally-assisted project and Davis-Bacon (DBRA) requirements will be strictly enforced. Federal Labor Standards provisions **HUD-4010** will be incorporated into the successful bidder’s contract and is attached hereto as **Attachment A**. Contractors, including all subcontractors and apprentices, must be eligible to participate.*
*Federal Wage Determination # _____ is incorporated herein and is attached hereto as **Attachment B**”*
- ✓ **Three bids (at least) have been received for the project – copies of all bids submitted to CDD-CDBG staff.**
- ✓ **PROGRAM prepares written contract with successful bidder using CDBG - contract template** - Includes the following:
*“This is a federally-assisted project and Davis-Bacon requirements will be strictly enforced. Federal Labor Standards provisions **HUD-4010** is incorporated herein and attached hereto as **Attachment A**. Contractors, including all subcontractors and apprentices, are confirmed to be eligible to participate.*
*Federal Wage Determination #_____ is incorporated herein and is attached hereto as **Attachment B**.*
*Any request for payment, claim, or any other documentation submitted for the purpose of issuance of any payment, transfer or allocation of funds under this contract, shall require **PRIOR** written authorization and approval of CDD-CDBG Staff.”*
- ✓ **Any contract/PO with successful bidder shall be reviewed by the CDD-CDBG staff prior to execution to ensure that all applicable requirements which assume compliance with Federal, State, or local regulations have been incorporated.**
- ✓ **Sub-grantee staff, General Contractors, Sub-Contractors & their respective Payroll Staff have attended mandatory Pre-Construction Conference**
- ✓ **All required Documents have been delivered to CDD-CDBG Staff:**
 - **Notice to Contractors**
 - **ALL bids received**
 - **SIGNED Contract/P.O.**
 - **Contractor Exhibits A, B, C, D, E, O & INSURANCE**
- ✓ **Required posters and Exhibit E are posted at job site**

- ✓ **Sub-grantee is in receipt of “Notice to Proceed”**

CONSTRUCTION

- ✓ **Certified Payroll Reports**
 - Submitted Weekly
 - HUD-payroll form WH-347 - Required
 - HUD-payroll Certification - Required
 - ORIGINAL WET SIGNATURE / Delivered or Mailed ONLY to CDD-CDBG Davis Bacon Staff
- ✓ **Labor and material releases are required from each contractor covered by any payment request.**
- ✓ **Any request for payment, claim, or any other documentation submitted for the purpose of issuance of any payment, transfer or allocation of funds under MOU, contract, or PO, requires PRIOR written authorization and approval of CDBG Staff.**
- ✓ **Ten percent (10%) of each payment shall be retained by CDBG ***
- ✓ **Any Change Order requires PRIOR CDD-CDBG staff approval**
- ✓ **Sub-grantee staff is required to conduct on-site worker interviews– submits reports to CDBG**

POST CONSTRUCTION

- ✓ **“Notice of Completion” Required – signed by Sub-grantee - Recorded**
- ✓ **“Waiver & Affidavit” Required” – signed by Contractor**
- ✓ **Retention***

Ten percent (10%) of the grant amount will be held by CDD-CDBG for a minimum of thirty-five days after recordation of Notice of Completion. This is to ensure completion of work and payment for materials and services and to ensure compliance.
- ✓ **Compliance**

The City of Santa Barbara CDD-CDBG reserves the right to withhold payments of funds to Sub-grantees and/or contractors beyond 35 days who fail to comply with all federal, state and local regulations pertaining to federally funded construction projects.

CDBG CAPITAL PROJECT FORMS

EXHIBIT 'A' - CERTIFICATION OF UNDERSTANDING AND AUTHORIZATION

EXHIBIT 'B' - CONTRACTOR'S/SUBCONTRACTOR'S CERTIFICATION CONCERNING LABOR
STANDARDS AND PREVAILING WAGE REQUIREMENTS

EXHIBIT 'C' - CERTIFICATION BY PROPOSED CONTRACTOR/SUBCONTRACTOR REGARDING -
EQUAL EMPLOYMENT OPPORTUNITY

EXHIBIT 'D' - CERTIFICATION FOR APPLICABLE FRINGE BENEFIT PAYMENTS

EXHIBIT 'E' – WAGE RATE SHEET

BID PACKAGE

EXHIBIT 'O' – LIST OF SUB-CONSTRUCTORS
CONTRACTOR'S CERTIFICATION
BIDDER QUESTIONNAIRE

BID RESULTS

NOTIFICATION OF CONTRACT AWARD & START OF CONSTRUCTION – NOTICE TO PROCEED

PAYROLL INSTRUCTIONS & FORM – WH347

PAYROLL CERTIFICATION INSTRUCTIONS & FORM- WH347

EMPLOYEE QUESTIONNAIRE

CONDITIONAL WAIVER & RELEASE

NOTICE OF COMPLETION

CONTRACTORS WAIVER & AFFIDAVIT

U.S. DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT
C/O City of Santa Barbara-Community Development Department
P.O. Box 1990/630 Garden Street
Santa Barbara, CA 93101
(805) 564-5461

CERTIFICATION OF UNDERSTANDING AND AUTHORIZATION

PROJECT NAME: _____

PROJECT NUMBER: _____

This is to certify that the principals, and the authorized payroll officer, below, have attended a Preconstruction Conference and have read and understand the "Contractor's Guide to Davis/Bacon Wage Requirements" and the labor standards clauses pertaining to the subject project.

The following person(s) is designated as the payroll officer for the undersigned and is authorized to sign the Statement of Compliance that will accompany our weekly certified payroll reports for this project.

Payroll Officer (Print)

Payroll Officer (Signature)

Contractor/Subcontractor (Print)

by _____
(Signature)

(Title)

(Date)

Contractor/Subcontractor License Number

Tax Identification Number (Corporations or Partnerships)
or Social Security Number (Sole Proprietors)

Woman-Owned Business? Yes or No
(if 51% or more owned)

Minority-Owned Business? Yes or No
(if 51% or more owned)

CONTRACTOR'S/SUBCONTRACTOR'S CERTIFICATION
CONCERNING LABOR STANDARDS AND PREVAILING WAGE REQUIREMENTS

TO : City of Santa Barbara - Housing & Redevelopment P.O. BOX 1990 Santa Barbara, Ca. 93102	DATE:
C/O: Linda Dunn	PROJECT NUMBER:
	PROJECT NAME:

1. The undersigned, having executed a contract with

_____ (Contractor or Subcontractor)

for _____

_____ (Nature of Work)

in the amount of \$_____ in the construction of the above-identified project, certifies that:

- (a) The Labor Standards Provisions of The Contract for Construction are included in the aforesaid contract.
- (b) Neither he nor any firm, corporation, partnership or association in which he has a substantial interest is designated as an ineligible contractor by the Comp General of the United States pursuant to Section 5.60(b) of the Regulations of the Secretary of Labor, Part 5 (29 CFR, Part 5), or pursuant to Section 3(a) the Davis-Bacon Act, as amended (40 U.S.C. 276a-2(a)).
- (c) No part of the aforementioned contract has been or will be subcontracted to a subcontractor if such subcontractor or any firm, corporation, partnership or association in which such subcontractor has a substantial interest in is designated as an ineligible contractor pursuant to the aforesaid regulatory or statutory provisions.

2. He agrees to obtain and forward to the contractor, for transmittal to the recipients within ten days after the execution of any lower subcontract, a Subcontractor's Certification Concerning Labor Standards and Prevailing Wage Requirement, executed by the lower tier subcontractor, in duplicate.

(a) The workers will report for duty on or about _____ 20 ____ (Date)

3. He certifies that:

(a) The legal name and the business address of the undersigned are:

(b) The undersigned is (sign in the corresponding box):

(1) A SINGLE PROPRIETORSHIP	(3) A CORPORATION ORGANIZED IN THE STATE
(2) A PARTNERSHIP	(4) OTHER ORGANIZATION (Describe)

CERTIFICATION BY PROPOSED CONTRACTOR/SUBCONTRACTOR REGARDING
EQUAL EMPLOYMENT OPPORTUNITY

Name of Prime Contractor:

Project Number:

INSTRUCTIONS

This certification is required pursuant to Executive Order 11246 (30 F.R. 12319-25). The implementing rules and regulations provide that any bidder or prospective contractor, or any of their proposed subcontractors shall state as an initial part of the bid or negotiations of the contract whether it has participated in any previous contract or subcontract subject to the equal opportunity clause; and, if so, whether it has filed all compliance reports due under applicable instructions.

Where the certification indicates that the subcontractor has not filed a compliance report due under applicable instructions, such subcontractor shall be required to submit a compliance report before the owner approves the subcontract or permits work to begin under the subcontract.

CONTRACTOR/SUBCONTRACTOR'S CERTIFICATION

Name and Address of Subcontractor (include Zip Code):

1. Bidder has participated in a previous contract or subcontract subject to the Equal Opportunity Clause.
() Yes () No
2. Compliance reports were required to be filed in connection with such contract or subcontract.
() Yes () No
3. Bidder has filed all compliance reports due under applicable instructions, including SF-100
() Yes () No () None Required
4. Have you ever been or are you being considered for sanction due to violation of Executive Order 11246, as amended? () Yes () No

NAME AND TITLE OF SIGNER (Please Type):

Signature

Date

U.S. DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

C/O City of Santa Barbara-Community Development Department
P.O. Box 1990/630 Garden Street
Santa Barbara, CA 93101
(805) 564-5461

CERTIFICATION FOR APPLICABLE FRINGE BENEFIT PAYMENTS

PROJECT NAME: _____ PROJECT NUMBER: _____

Classification	Fringe Benefit Hourly Amount	Name, Address and Telephone Number of Plan/Fund/Program
1. Effective Date:	Health and Welfare \$ _____ Pension \$ _____ Vacation \$ _____ Apprenticeship/Training \$ _____ Other (Please specify) \$ _____	
2. Effective Date:	Health and Welfare \$ _____ Pension \$ _____ Vacation \$ _____ Apprenticeship/Training \$ _____ Other (Please specify) \$ _____	
3. Effective Date:	Health and Welfare \$ _____ Pension \$ _____ Vacation \$ _____ Apprenticeship/Training \$ _____ Other (Please specify) \$ _____	

OR: (Initial if applicable)

☐ I certify that I do not make payments to approved fringe benefit plans, funds, or programs. By checking this box I understand that each laborer or mechanic will earn an amount not less than the sum of the applicable basic hourly wage rate plus the amount of the required fringe benefits as listed in the Wage Determination.

(Contractor/Subcontractor)

(Signature)

EXHIBIT E

PROJECT WAGE RATE SHEET				U.S. Department of Housing and Urban Development Office of Labor Relations		
PROJECT NAME:				WAGE DECISION NUMBER/MODIFICATION NUMBER:		
PROJECT NUMBER:				PROJECT COUNTY:		
WORK CLASSIFICATION	BASIC HOURLY RATE (BHR)	FRINGE BENEFITS	TOTAL HOURLY WAGE RATE	LABORERS FRINGE BENEFITS:		\$
Bricklayers			\$	GROUP #	BHR	TOTAL WAGE
Carpenters			\$			\$
Cement Masons			\$			\$
Drywall Hangers			\$			\$
Electricians			\$			\$
Iron Workers			\$			\$
Painters			\$	OPERATORS FRINGE BENEFITS:		\$
Plumbers			\$	GROUP #	BHR	TOTAL WAGE
Roofers			\$			\$
Sheet Metal Workers			\$			\$
Soft Floor Layers			\$			\$
Tapers			\$			\$
Tile Setters			\$	TRUCK DRIVERS FRINGE BENEFITS:		\$
OTHER CLASSIFICATIONS				GROUP #	BHR	TOTAL WAGE
			\$			\$
			\$			\$
			\$			\$
ADDITIONAL CLASSIFICATIONS (HUD Form 4230-A)						
	BASIC HOURLY	FRINGE	TOTAL HOURLY	DATE OF HUD SUBMISSION TO		DATE OF DOL
			\$			
			\$			
			\$			
			\$			

CITY OF SANTA BARBARA
BID PACKAGE for Negotiated Bids

This project is Federally financed in part/whole by the U. S. Department of Housing and Urban Development (24CFR, Part 57) and subject to certain requirements including payment of Federal prevailing wages, compliance with "Section 3" Affirmative Action Requirements, Executive Order #11246 (EEO), and others. The aforementioned are described in the attached documents.

LEGAL AND PROCEDURAL DOCUMENTS

1. Sample Contract
2. Contractor's Guide to Davis-Bacon Wage Requirements (including Certified Payroll Forms WH-347 and WH-348)
3. Section 3 Economic Opportunities for Low and Very-Low Income Persons
4. Prevailing Wage Rates (General Decision Number _____)
5. Project Wage Rate Sheet
6. Questionnaire Regarding Bidders
7. Contractor's Certification
8. Contractor's/Subcontractor's Certification Concerning Labor Standards and Prevailing Wage Requirements (Exhibit D)
9. Certification by Proposed Subcontractor's Regarding Equal Employment Opportunity (Exhibit G)
10. List of Subcontractors (Exhibit O)
11. Certification of Understanding and Authorization (Payroll Officer Certification)
12. Certification for Applicable Fringe Benefit Payments
13. Federal Labor Standards Provisions (HUD-4010)
14. Bidder's Statement Regarding Insurance Coverage
15. Certificate Regarding Non-Segregated Facilities
16. Notice to Proceed
17. Request for Progress Payment
18. Construction Contract Checklist
19. Special Federal Provisions

PROPOSAL DOCUMENTS

All bids must be accompanied by the following completed forms:

1. Contractor's Proposal
2. Proposed List of Subcontractors (Exhibit "O")
3. Proposal Guaranty Bond (Bid Bond)
4. Bidder's Statement Regarding Insurance Coverage
5. Questionnaire Regarding Bidders
6. Contractor's Certification
7. Performance and Payment Bond
8. Certificate Regarding Non-Segregated Facilities
9. Certificate by Proposed Subcontractor Regarding EEO (Exhibit "G")
10. Certificate by Contractor Regarding EEO (Exhibit "G")
11. Contractor's/Subcontractor's Certification Concerning Labor Standards and Prevailing Wage Requirements (Exhibit D)
12. Section 3 Certificates
 - Economic Opportunity Plan (Attachment A)
 - Business Concern Certificate (Attachment C)
 - Resident Employment Bidder's Certificate (Attachment F)

U.S. DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT
C/O City of Santa Barbara-Community Development Department
P.O. Box 1990/630 Garden Street
Santa Barbara, CA 93101
(805) 564-5461

LIST OF SUBCONTRACTORS

TRADE	NAME OF SUBCONTRACTOR	ADDRESS & PHONE #	Minority or Woman Owned Firm YES/NO

MINORITY AND WOMAN SUPPLIERS

NAME OF SUPPLIERADDRESS AND PHONE #

This form is to be filled out and submitted with bid.

U.S. DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT
C/O City of Santa Barbara-Community Development Department
P.O. Box 1990/630 Garden Street
Santa Barbara, CA 93101
(805) 564-5461

Contractor's Certification

Bidder hereby certifies (s)he has reviewed all bid documents for HUD-funded construction projects, and fully understands all obligations if the project is award to him/her. Bidder further certifies that the proposal or bid is genuine and not collusive or sham; that said bidder has not colluded, conspired, connived or agreed, directly or indirectly, with any bidder or person, to put in a sham bid or to refrain from bidding, and has not in any manner, directly or indirectly, sought by agreement or collusion, or communication or conference, with any person, to fix the bid price of project or of any other bidder or to fix any overhead profit or cost element of said bid price, or of that of any other bidder, or to secure any advantage against the City of Santa Barbara, or any person interested in the proposed contract, and that all statements in said proposal or bid are true.

Date

Bidder

By _____

Title

BIDDER QUESTIONNAIRE

Bidder's Name: _____

Address: _____

Telephone #: _____

Number of years engaged in the contracting business under present business name _____

List the last three contracts performed which show experience in work of a nature similar to that covered in this proposal. If none, so indicate.

Year	Type of Work	Contract Amount	Location	For Whom Performed

Because this project is federally funded, it is necessary to obtain information concerning minority group participation for statistical purposes so that the U.S. Department of Housing and Urban Development (HUD) may determine the degree to which its programs are being utilized by minority contractors.

A minority enterprise is defined by the Federal Government as a business that is 50% or more minority owned.

Please check the applicable box concerning the ownership of your business:

- ☐ American Indian
- ☐ Asian/Pacific Islander
- ☐ African American
- ☐ Latino/Hispanic
- ☐ White
- ☐ Female

State of California Contractor's License No.: _____

Federal I.D. #: _____

Contractor's License Expiration Date: _____

City of Santa Barbara Community Development Block Grant (CDBG) Bid Results

Agency: _____

Summary of bids for _____ Project No. _____
(Project Name)

Bid Opening/Advertisement Date: _____

Bidders (3 minimum)	Total Bid/Quote

Submit this form along with copies of all bids received to CD-CDBG office as soon as a contractor is selected.

Please note: Construction cannot begin until a preconstruction conference has been held and you have received the NOTICE TO PROCEED.

U.S. DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

Labor Relations

C/O City of Santa Barbara-Community Development Department

P.O. Box 1990/630 Garden Street

Santa Barbara, CA 93101

(805) 564-5461

**NOTIFICATION OF CONTRACT AWARD AND
START OF CONSTRUCTION – NOTICE TO PROCEED**

Agency: _____

Project Name: _____ Project #: _____

Contract Amount: _____ \$ _____ CDBG

Project Address: _____, Santa Barbara, CA

General Contractor: _____

Bid Opening Date: _____ Award Date: _____

Construction Start Date: _____

Applicable Wage Decision Number: _____

Modifications: _____

Labor Provisions: _____

Preconstruction Conference Date: _____

Submitted By: (Name and Title) _____

Original to CDBG Program

Copy to Agency

Copy to Contractor

PAYROLL

(For Contractor's Optional Use; See Instructions at www.dol.gov/whd/forms/wh347instr.htm)



EMPLOYER'S NAME: **Davis Construction** ADDRESS: **123 Main Street Santa Barbara, CA 93101** OMB No. 1215-0149
 PAYROLL NUMBER: **3** PAYROLL PERIOD: **5/7/2010** INDICATE WEEK ENDING DATE: **5/7/2010** PROJECT NAME: **Ortega Park, 640 N. Salsipuedes Street** PROJECT NUMBER: **1234**

EMPLOYEE'S NAME (Last, First, Middle Initial)	EMPLOYEE'S ADDRESS (Last, First, Middle Initial)	EMPLOYEE'S SOCIAL SECURITY NUMBER	EMPLOYEE'S CLASSIFICATION	HOURS WORKED	WAGE RATE	DEDUCTIONS				GROSS WAGES	NET WAGES
						FEDERAL TAX	STATE TAX	CITY TAX	OTHER		
Lee Smith (4321) 5678 Oak Ave Cotite, CA 93116	2 - Cement Mason	8.0 8.0 8.0 8.0	26.0	\$41.08	1,068.08	81.71	66.00	12.46	11.75	171.92	896.17
Chris Jones (5678) 1234 Main St Santa Barbara, CA 93101	4 - Carpenter	6.0 8.0 8.0 8.0	30.0	\$39.50	1,165.00	218.00	54.36	100.16	68.16	440.68	1,239.32

Check completed by contractor for each employee on each pay period. This form is to be submitted to the Wage and Hour Division of the U.S. Department of Labor. It is not to be used for any other purpose. The contractor is responsible for the accuracy of the information provided. The contractor is also responsible for the accuracy of the information provided. The contractor is also responsible for the accuracy of the information provided.

Public Release - This form is for public release.



(For Contractor's Optional Use; See instructions at www.doi.gov/whd/forms/wh547instr.htm)

Persons are not required to respond to the collection of information unless it displays a currently valid OMB control number.

Rev. Dec. 2008

OMB No.: 1215-0149
Expires: 12/31/2011

[illegible]

History and versions of Form FD-302 are located at [www.dhs.gov](#). It is mandatory for government contractors and subcontractors performing work on Federal contracts or awarded construction contracts to report to the contractor information contained in 9A U.S.C. § 8622, 48 CFR 1.714(c) concerning performance or non-performance of work on Federal contracts or awarded construction contracts with respect to the wages paid below the prevailing wage. The Government Acquisition Regulation (GAR), 48 CFR 1.714(c)(1), requires contractors to submit weekly a copy of all payments to the Federal agency contracting for or financing the construction project, accompanied by a signed "Statement of Compliance" indicating that the payments are correct and complete and that each laborer or subcontractor has been paid not less than the applicable Davis-Bacon prevailing wage rate for the work performed. DOL and Federal contracting agencies receiving this information conduct the information disclosure that employers have submitted against required wages and their laborer or subcontractor's wages.

Public Budget Statement

We estimate that it will take an average of 35 minutes to complete this collection, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. If you have any comments regarding these estimates or any other aspect of this collection, including suggestions for reducing this burden, send them to the Administrator, Wage and Hour Division, U.S. Department of Labor, Room 3202, 200 Constitution Avenue, N.W., Washington, D.C. 20216.

[illegible]

Date _____

I, _____ (Name of Signatory Party) _____ (Title)

do hereby state:

(1) That I pay or supervise the payment of the persons employed by

_____ on the _____

(Contractor or Subcontractor)

_____ that during the payroll period commencing on the _____

(Building or Work)

_____ day of _____ and ending the _____ day of _____

all persons employed on said project have been paid the full weekly wages earned, that no rebates have been or will be made either directly or indirectly to or on behalf of said

_____ from the full _____

(Contractor or Subcontractor)

weekly wages earned by any person and that no deductions have been made either directly or indirectly from the full wages earned by any person, other than permissible deductions as defined in Regulations, Part 3 (25 C.F.R. Subtitle A), issued by the Secretary of Labor under the Copeland Act, as amended (48 Stat. 948, 63 Stat. 106, 72 Stat. 967, 76 Stat. 357, 40 U.S.C. § 3145), and described below

(2) That any payrolls otherwise under this contract required to be submitted for the above period are correct and complete; that the wage rates for laborers or mechanics contained therein are not less than the applicable wage rates contained in any wage determination incorporated into the contract; that the classifications set forth therein for each laborer or mechanic conform with the work he performed.

(3) That any apprentices employed in the above period are duly registered in a bona fide apprenticeship program registered with a State apprenticeship agency recognized by the Bureau of Apprenticeship and Training, United States Department of Labor, or if no such recognized agency exists in a State, are registered with the Bureau of Apprenticeship and Training, United States Department of Labor.

(4) That

(a) WHERE FRINGE BENEFITS ARE PAID TO APPROVED PLANS, FUNDS, OR PROGRAMS



In addition to the basic hourly wage rates paid to each laborer or mechanic listed in the above referenced payroll, payments of fringe benefits as listed in the contract have been or will be made to appropriate programs for the benefit of such employees, except as noted in section 4(c) below.

(b) WHERE FRINGE BENEFITS ARE PAID IN CASH



Each laborer or mechanic listed in the above referenced payroll has been paid, as indicated on the payroll, an amount not less than the sum of the applicable basic hourly wage rate plus the amount of the required fringe benefits as listed in the contract, except as noted in section 4(c) below.

(c) EXCEPTIONS

EXCEPTION (DRAFT)	EXPLANATION
REMARKS:	
NAME AND TITLE	SIGNATURE
THE FIDELITY, FALSIFICATION OF ANY OF THE ABOVE STATEMENTS MAY SUBJECT THE CONTRACTOR OR SUBCONTRACTOR TO CIVIL OR CRIMINAL PROSECUTION. SEE SECTION 101 OF TITLE 18 AND SECTION 231 OF TITLE 21 OF THE UNITED STATES CODE.	

City of Santa Barbara
Community Development Department
Housing & Redevelopment
P.O. Box 1990
Santa Barbara, CA 93102-1990
(805) 564-5461

Davis-Bacon Employee Questionnaire

Employee Name: _____

Project Name: _____

Employer: _____

Dates & Hours Worked During the Week of

Date	Hours Worked	Hourly Rate of Pay

I certify, to the best of my knowledge, the above is true and correct.

Interviewer:

Signature

Date

CONDITIONAL WAIVER AND RELEASE UPON FINAL PAYMENT

CALIFORNIA CIVIL CODE SECTION 3262(D)(3)

Upon receipt by the undersigned of a check from _____ In the sum of
(Maker of Check)
_____ payable to _____ and when the check
(Amount of check) (Payee or Payees of check)
has properly endorsed and has been paid by the bank upon which it is drawn, this document shall become
effective to release any mechanics' lien, stop notice, or bond right the undersigned has on the job of

_____ (Owner)
located at _____
(Job Description)

This release covers the final payment to the undersigned for all labor, services, equipment,
or material furnished on the job, except for disputed claims for additional work in the
amount of \$ _____. Before any recipient of this document relies on it,
the party should verify evidence of payment to the undersigned.

Dated: _____

By: _____ (Company name)

(Signature)

(Title)

NOTE: CIVIL CODE 3262(d)(3) PROVIDES:Where the claimant is required to execute a waiver and release in exchange for, or in order to induce a payment of, a final payment and the claimant is not, in fact, paid in exchange for the waiver and release or a single payee check or joint payee check is given in exchange for the waiver and release, the waiver and release shall follow substantially the form set forth above.

RECORDING REQUESTED BY:

AND WHEN RECORDED, MAIL TO:

NAME: City of Santa Barbara
Com Dev Hsg & RDA – L. Dunn
ADDRESS: P.O. Box 1990
CITY & STATE: Santa Barbara, CA 93102-1990

APN #

NO FEE PER GOVERNMENT CODE 6103

NOTICE OF COMPLETION

Notice pursuant to Civil Code Section 3093, must be filed within 10 days after completion.

Notice is hereby given that:

1. The undersigned is owner of the interest or estate stated below in the property hereinafter described.
2. The full name of the owner is _____
3. The full address of the owner is _____, Santa Barbara, CA 93101
4. The nature of the interest or estate of the owner is: .
5. The full names and full addresses of all persons, if any, who hold title with the undersigned as joint tenants or as tenants in common:

NAMES

ADDRESSES

1. A work of improvement on the property hereinafter described was completed on:
The work done was:
7. The name of the contractor, if any, for such work of improvement was:
8. The property on which said work of improvement was completed is in the City of Santa Barbara, County of Santa Barbara, State of California
9. The street address of said property is _____

AGENCY

By:

VERIFICATION

I, the undersigned, say: I am the owner who executed the foregoing notice of completion. I have read the notice of completion and I declare under penalty of perjury that the foregoing is true and correct.

Dated: _____, at Santa Barbara, California.

By:

City of Santa Barbara
Community Development Department – CDBG CAPITAL CONSTRUCTION
CONTRACTOR'S WAIVER AND AFFIDAVIT

Agent:

Contractor:

Site Address: **Santa Barbara, CA**

Work Completed:

The undersigned hereby certifies and declares:

Contractor entered into written contract with Owner, for the work defined above.

Work, including any and all authorized change orders, was completed on _____
_____ in full compliance with all terms, conditions and specifications of said contract.

Contractor has been paid all monies due except: AND /100 DOLLARS (\$).

In consideration of payment of the balance, Contractor hereby releases Agency
from any and all claims arising under or by virtue of said contract

Contractor guarantees the work performed under the above-mentioned contract for a period of one (1)
year from completion date.

All manufacturers and suppliers written guarantees and warranties covering materials and equipment
furnished under the above-mentioned contract have been provided to Agency

All bills for labor and/or materials furnished in connection with the above-mentioned work have been
fully paid;

Any and all lien rights which Contractor may have, either as individual or as the authorized agent for the
above-mentioned business, arising out of or on account of said work, are hereby waived and shall have no
force or effect hereafter; further, Contractor certifies and declares that he/she will testify or depose before
any competent tribunal, officer or person, in any proceeding now pending or hereinafter instituted, to the
truth of each of the foregoing statements.

The undersigned declares under penalty of perjury that the foregoing is true and correct.

Executed this _____ day of _____, 20_____ at Santa Barbara, California.

CONTRACTOR / AGENT

Signature of the individual who is swearing
that the contents of this document are true.

PRINT NAME

Attachment C

24 CFR 570

Community Development Block Grant Entitlement Program Regulations

<http://ecfr.gpoaccess.gov/cgi/t/text/text-idx?idno=24;region=DIV1;type=boolean;c=ecfr;cc=ecfr;sid=e488fdc73c503325a5987c742ae625b9;q1=570;rgn1=Part;op2=and;rgn2=Section;op3=and;rgn3=Section;rgn=div5;view=text;node=24%3A3.1.1.3.4>

24 CFR Part 84

Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals and Other Non-Profit Organizations

http://ecfr.gpoaccess.gov/cgi/t/text/text-idx?c=ecfr&tpl=/ecfrbrowse/Title24/24cfr85_main_02.tpl

OMB Circular A-122

Cost Principles for Non-Profit Organizations

www.whitehouse.gov/omb/circulars/a122/a122.html

OMB Circular A-133

Audits of Institutions of Higher Education and Other Non-Profit Institutions

www.whitehouse.gov/omb/circulars/a133/a133.html

US Department of Labor Wage & Hour Division

<http://www.dol.gov/whd/recovery/>